



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Application of:
Amanat, I. et al.

Serial No.: 09/643,073

Filing Date: August 21, 2000

Title: APPARATUS AND METHOD FOR
LOAD BALANCING AMONG
DATA COMMUNICATIONS
PORTS IN AUTOMATED
SECURITIES TRADING SYSTEMS

Group Art Unit: Unassigned

Examiner: Unassigned

Docket No.: T30411US

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Assistant Commissioner for Patents
Washington, D.C. 20231

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Signature

Date

TRANSMITTAL LETTER

Enclosed for filing in the above-identified case are the following documents:

- ☒ Information Disclosure Statement;
- ☒ Form PTO-1449 with cited references; and
- ☒ Return-receipt postcard

The Commissioner is hereby authorized to charge or credit Deposit Account No. 01-2511 for any additional filing fees required or overpaid. A duplicate copy of this transmittal is enclosed for this purpose.

Respectfully submitted,

Date:

9/28/2000

By:

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Rennett News
9-28-00

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Submitted herewith are patents, publications or other information of which the undersigned is aware.

The submission of these documents is in no way intended to constitute an admission that these documents are "material" under 37 CFR 1.56. Furthermore, this submission is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

This Information Disclosure Statement is filed within the time period specified in 37 CFR 1.97(b)(1). The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR 1.56(a) exists.

The person making this statement is the attorney who signs below on the basis of the information in the attorney's file.

Date: 9/28/2000

Respectfully submitted,

By: 

John Biggers

Reg. No.: 44,537

Arnold & Associates

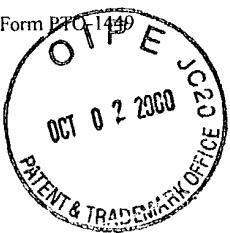
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ATTORNEY FOR APPLICANT

Form PTO-1449  <div style="text-align: center; margin-top: 10px;"> INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary) </div>				Docket Number (Optional) T30411US		Application Number 09/643,073	
				Applicant Amanat, I., et al.			
				Filing Date 08/21/00		Group Art Unit	

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	3,573,747	04/06/71	Adams, et al.			
	3,581,072	05/25/71	Nymeyer			
	3,976,840	08/24/76	Cleveland, et al.			
	4,243,844	01/06/81	Waldman			
	4,412,287	10/25/83	Braddock, III			
	4,585,130	04/29/86	Brennan			
	4,588,192	05/13/86	Laborde			
	4,674,044	06/16/87	Kalmus, et al.			
	4,677,552	06/30/87	Sibley, Jr.			
	4,750,135	06/07/88	Boilen			
	4,751,640	06/14/88	Lucas, et al.			
	4,903,201	02/20/90	Wagner			
	4,949,248	08/14/90	Caro			
	5,025,372	06/18/91	Burton, et al.			
	5,038,284	08/06/91	Kramer			
	5,101,353	03/31/92	Lupien, et al.			
	5,136,501	08/04/92	Silverman, et al.			
	5,168,446	12/01/92	Wiseman			
	5,267,148	11/30/93	Kosaka, et al.			
	5,270,922	12/14/93	Higgins			
	5,297,031	03/22/94	Guttermann, et al.			
			COUNTRY	CLASS	SUB- CLASS	Translation _____ YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)	
EXAMINER	DATE CONSIDERED

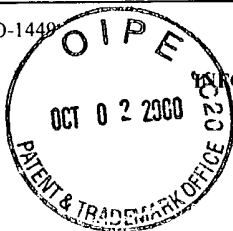
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Form PTO-1449  INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)				Docket Number (Optional) T4011US		Application Number 09/643,073	
				Applicant Amanat, I., et al.			
				Filing Date 08/21/00		Group Art Unit	

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE IF APPROPRIATE
	5,297,032	03/22/94	Trojan, et al.			
	5,339,392	08/16/94	Risberg, et al.			
	5,361,199	11/01/94	Shoquist, et al.			
	5,375,055	12/20/94	Togher, et al.			
	5,500,889	03/19/96	Baker, et al.			
	5,508,913	04/16/96	Yamamoto, et al.			
	5,517,406	05/14/96	Harris, et al.			
	5,557,517	09/17/96	Daugherty, III			
	5,563,783	10/08/96	Stolfo, et al.			
	5,640,569	06/17/97	Miller, et al.			
	5,655,088	08/05/97	Midorikawa, et al.			
	5,689,652	11/18/97	Lupien, et al.			
	5,727,165	03/10/98	Ordish, et al.			
	5,752,237	05/12/98	Cherny			
	5,774,880	06/30/98	Ginsberg			
	5,788,234	08/04/98	Siofer			
	5,799,287	08/25/98	Dembo			
	5,806,048	09/08/98	Kiron, et al.			
	5,809,483	09/15/98	Broka, et al.			
	5,819,237	10/06/98	Garman			
	5,819,238	10/06/98	Fernholz			
	5,845,266	12/01/98	Lupien, et al.			
			COUNTRY	CLASS	SUB-CLASS	Translation YES NO

OTHER DOCUMENTS		(Including Author, Title, Date, Pertinent Pages, Etc.)
EXAMINER	DATE CONSIDERED	

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T30411US

Application Number
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Group Art Unit

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	5,852,808	12/22/98	Cherny			
	5,857,176	01/05/99	Ginsberg			
	5,875,108	02/23/99	Hoffberg, et al.			
	5,901,246	05/04/99	Hoffberg, et al.			
	5,905,974	05/18/99	Fraser, et al.			
	5,924,083	07/13/99	Silverman, et al.			
	5,940,810	08/17/99	Traub, et al.			
	5,946,667	08/31/99	Tull, Jr. et al.			
	5,950,176	09/07/99	Keiser, et al.			
	RE31,643	08/07/84	Waldman			
			COUNTRY	CLASS	SUB- CLASS	Translation YES NO

OTHER DOCUMENTS

(Including Author, Title, Date, Pertinent Pages, Etc.)

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